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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/759,742	01/12/2001	Ralf Hofmann	P-4356	9744
24209	7590	04/26/2006	EXAMINER	
GUNNISON MCKAY & HODGSON, LLP			QUELER, ADAM M	
1900 GARDEN ROAD			ART UNIT	PAPER NUMBER
SUITE 220				2178
MONTEREY, CA 93940				

DATE MAILED: 04/26/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/759,742	HOFMANN ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	Adam M. Queler	2178	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

1) Responsive to communication(s) filed on 06 February 2006.

2a) This action is **FINAL**.                    2b) This action is non-final.

3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

4) Claim(s) 1,3,5,7-10,13 and 15-24 is/are pending in the application.

4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.

5) Claim(s) \_\_\_\_\_ is/are allowed.

6) Claim(s) 1,3,5,7-10,13 and 15-24 is/are rejected.

7) Claim(s) \_\_\_\_\_ is/are objected to.

8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

9) The specification is objected to by the Examiner.

10) The drawing(s) filed on \_\_\_\_\_ is/are: a) accepted or b) objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) All    b) Some \* c) None of:

1. Certified copies of the priority documents have been received.

2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.

3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)	4) <input type="checkbox"/> Interview Summary (PTO-413)
2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)	Paper No(s)/Mail Date. _____ .
3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date <u>11/14/05</u> .	5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)
	6) <input type="checkbox"/> Other: _____

## **DETAILED ACTION**

1. This action is responsive to communications: Amendment filed 02/06/2006
2. Claims 1, 3, 5, 7-10, 13, 15-24 are pending in the case. Claims 1, 3, 8, 10, 13, 18, 20, 21, and 24 are independent claims.
3. The rejection of claims 1-24 under 35 U.S.C. 112, are withdrawn in view Applicant's amendments and arguments.

### ***Information Disclosure Statement***

4. Applicants IDS was mailed after the mailing of the First Office Action after an RCE. As there was an authorization to charge any necessary fees, the IDS has been treated as a filing under 37 C.F.R. 197(c), and has been considered.

### ***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. **Claims 1, 3, 5, 8-10, 13, 15, 16, 18, 19, 21 and 24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Bayeh et al. (US006012098A patented 1/4/2000), and further in view of Zeiger, "Servlet Essentials." "A History of Browsers" (hereinafter Quirksmode) is cited as evidence regarding browsers.**

**Regarding independent claim(s) 1, 10, and 13,** Bayeh teaches receiving a request for data (col. 4, ll. 23-29). Bayeh teaches retrieving a rule set for a plurality of filters, or servlets, (col. 9, ll. 46-63). The plain meaning of a filter registry, when viewed in light of the specification, is the

location of the rule set, which inherently the rule set must be retrieved from. Upon being chained, the filters convert source data to requested data (col. 4, ll. 23-37). Bayeh teaches the filter is a chain of partial filters (col. 9, ll. 30-46). Bayeh teaches that a subset of the data is processed (col. 12, ll. 7-12). Bayeh does not explicitly disclose the exact manner in which the servlets communicate with each other and explicitly suggests that one would look to the prior art for guidance on such matters (col. 9, ll. 62-63 and col. 10, ll. 14-15). Zeiger discloses that a preferred way for servlets to communicate with other is to use a Java construct called an interface, which is used to ensure that different data types can communicate with each other (p. 30, para. 3). Therefore it is a generic source and target data format independent interface. It would have been obvious to one of ordinary skill in the art at the time of the invention to use the interfaces of Ziegler to enable the intra-servlet communication necessary for Bayeh, because Bayeh suggests turning the prior art for implementation details, and because it would have enabled the servlets of Bayeh to be reloaded on the fly (p. 30, para. 1).

**Regarding independent claim(s) 3, and 21,** Bayeh teaches receiving a request for data (col. 4, ll. 23-29). Bayeh teaches a partial filter library as part of the server (col. 7, ll. 36-38). Bayeh teaches retrieving a rule set for a plurality of filters, or servlets, (col. 8, ll. 36-64), wherein upon being chained the filters convert source data to requested data (col. 4, ll. 23-37). Bayeh teaches the filter is a chain of partial filters, each of which as a generic format independent interface that passes data from one to another (col. 9, ll. 30-46). Bayeh teaches the filter converts source data from a first format to a second data format (col. 4, ll. 37-42).

Additionally, Bayeh teaches the client is a browser (col. 2, ll. 25-36). Bayeh does not disclose a specific browser; therefore one of ordinary skill in the art would clearly turn toward an

accepted browser at the time of the invention. Quirksmode is cited as evidence that most browsers at the time of the invention supported a plurality of formats, including at least HTML, text, images and style sheets. It would have been obvious to one of ordinary skill in the art at the time of the invention to turn to the prior art for a browser as indicated by Bayeh.

Bayeh does not explicitly disclose the exact manner in which the servlets communicate with each other and explicitly suggests that one would look to the prior art for guidance on such matters (col. 9, ll. 62-63 and col. 10, ll. 14-15). Zeiger discloses that a preferred way for servlets to communicate with other is to use a Java construct called an interface, which is used to ensure that different data types can communicate with each other (p. 30, para. 3). Therefore it is a generic source and target data format independent interface. It would have been obvious to one of ordinary skill in the art at the time of the invention to use the interfaces of Ziegler to enable the intra-servlet communication necessary for Bayeh, because Bayeh suggests turning the prior art for implementation details, and because it would have enabled the servlets of Bayeh to be reloaded on the fly (p. 30, para. 1).

**Regarding independent claim(s) 24,** Bayeh teaches receiving a request for data (col. 4, ll. 23-29). Bayeh teaches supporting different formats and selecting the second format (col. 8, ll. 55-57). Bayeh teaches generating a filter by combining a first filter with a second filter (col. 9, ll. 30-45). Bayeh teaches a using an XSL style sheet to transform the one format to the other. As each element must be mapped to the other format, this broadly encompasses a comparison of the two formats. Bayeh teaches the filter converts source data from a first format to a second data format (col. 4, ll. 37-42).

Bayeh does not explicitly disclose the exact manner in which the servlets communicate with each other and explicitly suggests that one would look to the prior art for guidance on such matters (col. 9, ll. 62-63 and col. 10, ll. 14-15). Zeiger discloses that a preferred way for servlets to communicate with other is to use a Java construct called an interface, which is used to ensure that different data types can communicate with each other (p. 30, para. 3). Therefore it is a generic source and target data format independent interface. It would have been obvious to one of ordinary skill in the art at the time of the invention to use the interfaces of Ziegler to enable the intra-servlet communication necessary for Bayeh, because Bayeh suggests turning the prior art for implementation details, and because it would have enabled the servlets of Bayeh to be reloaded on the fly (p. 30, para. 1).

**Regarding independent claim(s) 8 and 18,** Bayeh teaches receiving a request for data (col. 4, ll. 23-29). Bayeh teaches a partial filter library as part of the server (col. 7, ll. 36-38). Bayeh teaches retrieving a rule set for a plurality of filters, or servlets, (col. 8, ll. 36-64), wherein upon being chained the filters convert source data to requested data (col. 4, ll. 23-37). This chain of filters is the general partial filter adapter as set forth in the claim language. Bayeh teaches the filter is a chain of partial filters, each of which as a generic format independent interface that passes data from one to another (col. 9, ll. 30-46). Bayeh teaches input to the filter is a XSL style-sheet that determines its functionality (col. 9, ll. 4-6). As the filter is a servlet object, its input is passed through a parameter.

Bayeh does not explicitly disclose the exact manner in which the servlets communicate with each other and explicitly suggests that one would look to the prior art for guidance on such matters (col. 9, ll. 62-63 and col. 10, ll. 14-15). Zeiger discloses that a preferred way for servlets

to communicate with other is to use a Java construct called an interface, which is used to ensure that different data types can communicate with each other (p. 30, para. 3). Therefore it is a generic source and target data format independent interface. It would have been obvious to one of ordinary skill in the art at the time of the invention to use the interfaces of Ziegler to enable the intra-servlet communication necessary for Bayeh, because Bayeh suggests turning the prior art for implementation details, and because it would have enabled the servlets of Bayeh to be reloaded on the fly (p. 30, para. 1).

**Regarding dependent claim(s) 9 and 19,** Bayeh teaches input to the filter is a XSL style-sheet that determines its functionality (col. 9, ll. 4-6). As the filter is a servlet object, its input is passed through a parameter. As the filter processes an XSL stylesheet, equivalent to a transformation script, it is deemed to be an XSL processor.

**Regarding dependent claim(s) 5 and 15,** Bayeh teaches selecting a particular servlet based on whether or not it is busy (col. 8, ll. 43-48). This amounts to a selection scheme that takes into account conversion time, since pickling a non-busy servlet would decrease conversion time.

**Regarding dependent claim(s) 16,** Bayeh teaches the filter converts source data from a first format to a second data format (col. 4, ll. 37-42).

**7. Claim 20 is rejected under 35 U.S.C. 103(a) as being unpatentable over Bayeh.**

**Regarding independent claim(s) 20,** Bayeh teaches a partial filter library as part of the server (col. 7, ll. 36-38). Bayeh teaches retrieving a rule set for a plurality of filters, or servlets, (col. 8, ll. 36-64), wherein upon being chained the filters convert source data to requested data (col. 4, ll. 23-37). Bayeh discloses that parts of its system are used to determine a source data format (col. 9, line 64 – col. 10, line 1). Bayeh discloses that chain factory is called that has a source data

format and a target (col. 9, ll. 30-63, or col. 9, line 64 – col. 10, line 15). Inherently as the objects are performing task, they must have been instantiated. Therefore, Bayeh performs all the functions performed by the conversion service protocol reader, chain factory, service manage and filter registry service. Bayeh generally only discloses the servlets, and everything else is generally described as the server. This server is not described by Bayeh and is inherently responsible for the basic support of the servlets described by Bayeh. Such activities such as instantiating the servlets, handling http requests, etc. As such absent any evidence of the criticality of using these specific objects to accomplish such tasks, it would been obvious to one of ordinary skill in the art at the time of the invention to separate the tasks already performed Bayeh's server into any number of distinct objects, as it would improve readability of code as well as make maintenance and troubleshooting easier.

**8. Claims 7, 17, 22, and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over Bayeh and Zeigler as applied to claims 1, 13, and 21 above, and further in view of Garshol, “Free XML Software”, (12/15/199).**

**Regarding dependent claim(s) 7, 17, and 22,** Bayeh does not teach a Simple API for XML. Garshol teaches a Simple API for XML (p. 22), which includes a plurality of filters that can accept the input and output of themselves (p. 24, “Parser Filters”). It would have been obvious to one of ordinary skill in the art at the time of the invention to replace Bayeh’s servlets with Garshol’s filters, as SAX was a de facto standard at the time of the invention (p. 22, “SAX”).

**Regarding dependent claim(s) 23,** SAX’s interface is inherently an XML document handler interface, as proven at least by Applicant’s specification (p. 39).

***Response to Arguments***

9. Applicant's arguments, with respect to the rejections of the claims under §102 and §103 have been fully considered and are persuasive. Therefore, the rejection has been withdrawn. However, upon further consideration, a new ground(s) of rejection is made in view of Bayeh in view of Ziegler.

***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Adam M. Queler whose telephone number is (571) 272-4140. The examiner can normally be reached on Monday-Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Steven Hong can be reached on (571) 272-4124. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

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STEPHEN HONG  
IPERVISORY PATENT EXAMINER